

Electronic Acknowledgement Receipt

EFS ID:	3097218
Application Number:	09995178
International Application Number:	
Confirmation Number:	5423
Title of Invention:	Method of ascertaining an efficient frontier for tax-sensitive investors
First Named Inventor/Applicant Name:	Michael D. Bergmann
Customer Number:	28784
Filer:	Gregory Warren O'Connor
Filer Authorized By:	
Attorney Docket Number:	P-M B-01
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Application Type:	Utility under 35 USC 111(a)

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RAM confirmation Number	7784
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
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1	Request for Continued Examination (RCE)	sb0030e_fill.pdf	626264	no	3
			bat217746ebdffad4e90352443de3bfc61f356cf		

Warnings:

Information:

2	Amendment After Final	response_accompanying_RCE.pdf	65994	no	8
			654a1a8da0dc8b126c1329f0345adb10c7e2c3bd		

Warnings:

Information:

3	Rule 130, 131 or 132 Affidavits	Declaration_37_CFR_131.pdf	812936	no	34
			31a45d281e1585cab03cdd62a89f87673e216c0		

Warnings:

Information:

4	Fee Worksheet (PTO-06)	fee-info.pdf	8337	no	2
			d660ecade22ed30eb0a5c78b1781e351183d6240		

Warnings:

Information:

Total Files Size (in bytes):			1513531		
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New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

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If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.